

PCOLS Data Mining/Risk Assessment Quick Reference to Case Disposition

Prepared by:
DoD Purchase Card Program Management Office

Abstract This document describes how
to disposition (close) a case in
Data Mining.

Document Date **July 11, 2011**

Document Version **1.0**

Table of Contents

1. Overview	3
2. Background	3
3. Logon to Data Mining	4
4. Select Data Mining Role	5
5. New Cases	6
6. Case Selection	7
7. Case Details – Interview Process	7
8. Case Disposition	9
9. A/OPC Independent Review	10

1. Overview

This document describes at a high level how the A/BO is to disposition a case in the Data Mining/Risk Assessment (DM/RA) Application. This document is an abbreviated version of the sections of the user guide that describes in detail how an A/BO should approach the dispositioning of a DM/RA flagged transaction.

Also, this document describes the process of how an A/OPC performs an Independent Review.

2. Background

The Data Mining/Risk Assessment Application receives Government Purchase Card (GPC) transactions from the bank. These transactions are scored using the Risk Predictive Model (RPM). The model flags about four percent (4%) of all transactions for review. Of the four percent, three percent (3%) are flagged due to risk and one percent (1%) is flagged at random. Flagged transactions are required to be dispositioned by the A/BO. The A/BO receives an email notification from Data Mining/Risk Assessment that contains information regarding the transaction and a link to the case.

Also, there are high risk transactions. These transactions score 900 and above by the RPM. High risk transactions require an Independent Review by the A/OPC. A separate email from Data Mining/Risk Assessment is sent specifically to the A/OPC for high risk transactions. This email contains transaction information and a link to the case.

The DM/RA Application does have an escalation process for the completion of flagged transactions. The escalation schedule that is followed can be view at the Defense Acquisition University (DAU) web site. Also, this is the site where the DM/RA User Manual can be found. Additionally, the DM/RA Job Aid and Webinar Schedule can be found at this site.

The URL for the DAU site is as follows:

<https://acc.dau.mil/CommunityBrowser.aspx?id=402136&lang=en-US>

3. Logon to Data Mining

Email URL:

Click on the link in the email that was received from DM/RA
PCOLS_noreply@dmdc.osd.mil.

Sign on & Referral System (SRS – Single Sign on):

Enter the following URL in your browser:
<https://pki.dmdc.osd.mil/appj/pcols-web/>

Click on the CAC log on. Enter CAC PIN.
The following SRS screen will appear:

The screenshot shows the DMDC Purchase Card web application. The header includes the DMDC logo, the tagline "Information and Technology for Better Decision Making", and links for Help, Contact, and Logoff. The main heading is "Purchase Card". Below this, a welcome message reads "Welcome James Herbert Chadwick". The interface is divided into four main sections, each with a "Log on" button and a description:

- Enterprise Monitoring & Management of Accounts (EMMA)**: Click this button to access the DMDC EMMA web application. Use EMMA if you want to add or update users of AIM. Click [here](#) for EMMA help specific to users of the PCOLS suite of applications. Instructions for using EMMA can be found in the help within the EMMA application.
- Authorization, Issuance & Maintenance (AIM)**: Click this button to access the AIM web application. Use AIM to add, update and approve Managing and Cardholder Accounts.
- PCOLS Reporting**: Click this button to access PCOLS Reporting. Click [here](#) for PCOLS Reporting Help. The help within PCOLS Reporting is a product-related help file and is not specific to PCOLS.
- Data Mining/Risk Assessment (DM/RA)**: Click this button to access the DM/RA web applications. Use DM/RA to evaluate at-risk transactions and review reports.

Below the DM/RA section, there is a "Recent At-Risk Notifications" list:

- 2011/07/09 - Account Number: *****2523 - Case Number: [589899](#)
- 2011/07/09 - Account Number: *****2350 - Case Number: [589891](#)
- 2011/07/09 - Account Number: *****2350 - Case Number: [589890](#)
- 2011/07/09 - Account Number: *****2350 - Case Number: [589889](#)
- 2011/07/09 - Account Number: *****2350 - Case Number: [589888](#)
- 2011/07/09 - Account Number: *****9101 - Case Number: [589863](#)
- 2011/07/09 - Account Number: *****9970 - Case Number: [589860](#)
- 2011/07/09 - Account Number: *****0500 - Case Number: [589855](#)
- 2011/07/09 - Account Number: *****0510 - Case Number: [589850](#)
- 2011/07/09 - Account Number: *****4138 - Case Number: [589844](#)

Click on the “Log on” button in the Data Mining/Risk Assessment (DM/RA) frame.


OR

Click on the Case Number under “Recent At-Risk Notifications”.
The case number is obtained from the email notification.

4. Select Data Mining Role

DM/RA displays the following screen when one logs on.

A role must be selected prior to any other action with DM/RA. Most users will have only one or very few roles to choose from.



Purchase Card
Data Mining / Risk Assessment

[Data Mining](#) [Risk Assessment](#)

Help | Contact | [Select Role](#) | [Logoff](#)

Welcome James Chadwick.

[Go Back](#)

[Case Management](#) [Find Transactions](#)

User Role Selection


SELECT	USER ROLE	HIERARCHY LEVEL	HIERARCHY LEVEL VALUE	HIERARCHY LEVEL VALUE TRAIL
Select	Acquisition Executive Agent (Level 2)	2	00097	47163-00097
Select	Acquisition Executive Agent (Level 2)	2	00017	00701-00017
Select	Approving Billing Official(A/BO) - Alternate	5	24435	47163-00005-00055-05555-24435
Select	Acquisition Executive Agent (Level 2)	2	00005	47163-00005
Select	DoD Purchase Card Program Management Office (PCPMO)	1	47163	47163
Select	DoD Purchase Card Program Management Office (PCPMO)	1	00701	00701
Select	HCA Agent (Level 3)	3	00012	00701-00017-00012
Select	HCA Agent (Level 3)	3	00055	47163-00005-00055

For Official Use Only (FOUO)

Determine the appropriate role and click on the select button next to that role.
Once the role has been selected, one will notice that the Welcome text now includes both ones name and role.

5. New Cases

Once a role has been selected, DM/RA displays the Case Statistics screen that corresponds to the selected role. Only transactions that an individual has been assigned are displayed. From this screen, click on the number (hyperlink) under the NEW column. This will take one to all of the new cases (flagged transactions).



Purchase Card

Data Mining / Risk Assessment

[Help](#) | [Contact](#) | [Select Role](#) | [Logoff](#)

Data Mining
Risk Assessment

Welcome James Chadwick. You are logged in as Approving/Billing Official(A/BO) - Alternate.

[Go Back](#)

Case Management
Find Transactions

Case Statistics

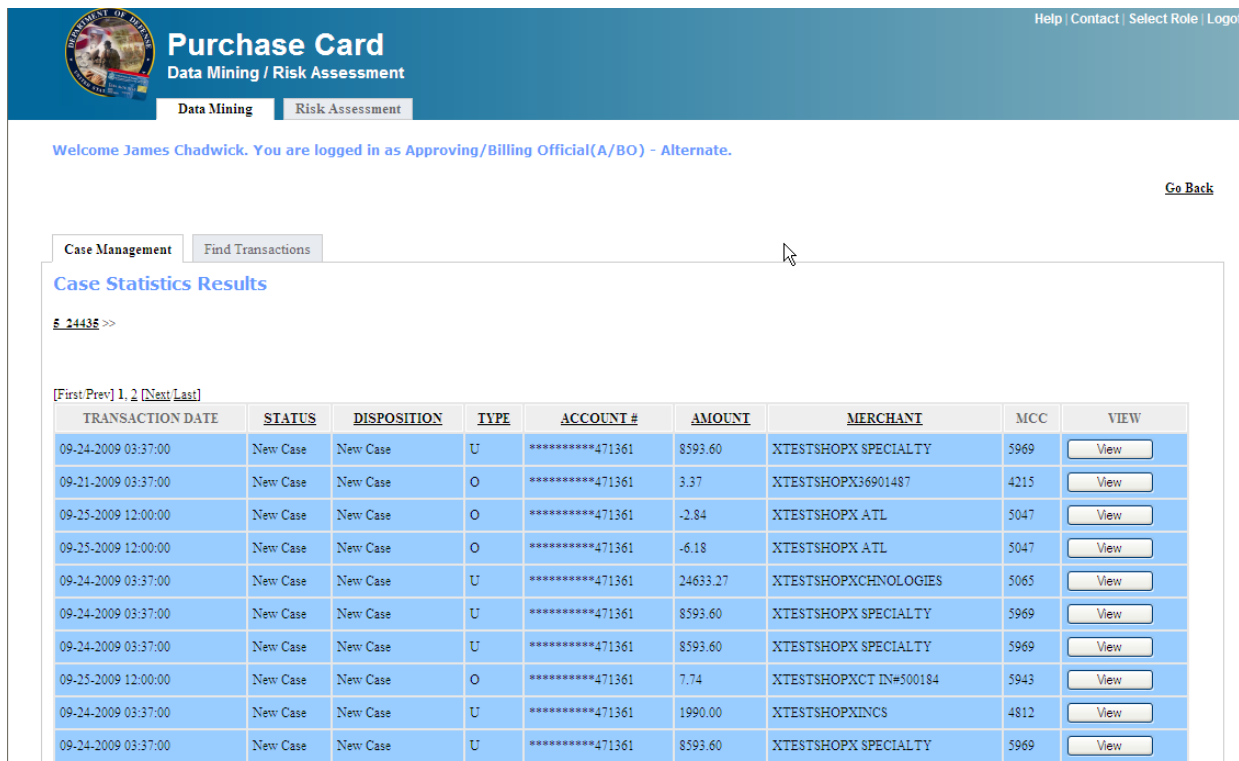
[5 24435 >>](#)

Cycle: ALL

<u>Level</u>	<u>NEW</u>	<u>UNDER A/BO REVIEW</u>	<u>CLOSED</u>
*****836453	11	4	25

6. Case Selection

DM/RA Case Manager displays the Case Statistics Results screen. Identify the case that is to be dispositioned and click on the view button. This will take one to the case details. Note that only ten transactions per screen are displayed. If the desired transaction is not on the first screen, use the page navigation buttons on the left side of the screen, just above the transactions.



Purchase Card
Data Mining / Risk Assessment

Help | Contact | Select Role | Logoff

Data Mining Risk Assessment

Welcome James Chadwick. You are logged in as Approving/Billing Official(A/BO) - Alternate.

[Go Back](#)

Case Management Find Transactions

Case Statistics Results

5 24435 >>

[First] [Prev] 1, 2 [Next] [Last]

TRANSACTION DATE	STATUS	DISPOSITION	TYPE	ACCOUNT #	AMOUNT	MERCHANT	MCC	VIEW
09-24-2009 03:37:00	New Case	New Case	U	*****471361	\$593.60	XTESTSHOPX SPECIALTY	5969	View
09-21-2009 03:37:00	New Case	New Case	O	*****471361	3.37	XTESTSHOPX36901487	4215	View
09-25-2009 12:00:00	New Case	New Case	O	*****471361	-2.84	XTESTSHOPX ATL	5047	View
09-25-2009 12:00:00	New Case	New Case	O	*****471361	-6.18	XTESTSHOPX ATL	5047	View
09-24-2009 03:37:00	New Case	New Case	U	*****471361	24633.27	XTESTSHOPXCHNOLOGIES	5065	View
09-24-2009 03:37:00	New Case	New Case	U	*****471361	\$593.60	XTESTSHOPX SPECIALTY	5969	View
09-24-2009 03:37:00	New Case	New Case	U	*****471361	\$593.60	XTESTSHOPX SPECIALTY	5969	View
09-25-2009 12:00:00	New Case	New Case	O	*****471361	7.74	XTESTSHOPXCT IN#500184	5943	View
09-24-2009 03:37:00	New Case	New Case	U	*****471361	1990.00	XTESTSHOPXINCS	4812	View
09-24-2009 03:37:00	New Case	New Case	U	*****471361	\$593.60	XTESTSHOPX SPECIALTY	5969	View

7. Case Details – Interview Process

DM/RA Case Manager displays the Case Details screen. This is the screen where the A/BO completes the case disposition. The details of the case are displayed, the Action History, the interview questions, and the Case Disposition. The following screen shows a typical transaction that is ready to be dispositioned.

Data Mining / Risk Assessment – Quick Reference to Case Disposition

Transaction Information			
Account Number:	*****471361	Managing Account Number:	*****836453
Transaction Date:	Mon Sep 21 2009 03:37:00	Transaction Type:	O
Transaction Amount:	\$ 3.37	Case Opened Date:	Mon Nov 08 2010 12:07:45
Merchant Name:	XTESTSHOPX36901487 800-4633339, TN, 000000000 840	Last Updated Date:	Mon Nov 08 2010 12:07:45
MCC:	4215 (COURIER SERVICES)	Last Action:	New Case

Action History							
DATE	TYPE	DISPOSITION	RECOMMENDED ACTION	A/OPC NOTIFIED	REFERRED TO DOD ORGANIZATION	COMMENTS	USER
<div>Describe Product or Service Acquired</div> <div></div> <div>Was a convenience check used for this purchase? <input type="radio"/> Yes <input checked="" type="radio"/> No</div> <div>Was the card compromised, lost or stolen? <input type="radio"/> Yes <input type="radio"/> No</div> <div>Is this a payment on contract or delivery/task order? <input type="radio"/> Yes <input type="radio"/> No</div>							

Case Review		
1.	Was the item/service formally disputed with the bank?	Yes <input type="radio"/> No <input type="radio"/>
2.	Did the transaction amount exceed the micro purchase limit?	Yes <input type="radio"/> No <input type="radio"/>
3.	Was this a split purchase?	Yes <input type="radio"/> No <input type="radio"/>
4.	Did the item/service exceed minimum needs?	Yes <input type="radio"/> No <input type="radio"/>
5.	Was the item/service for personal use?	Yes <input type="radio"/> No <input type="radio"/>
6.	Was the item a prohibited item?	Yes <input type="radio"/> No <input type="radio"/>
7.	Was this item subject to mandatory sourcing?	Yes <input type="radio"/> No <input type="radio"/> N/A <input type="radio"/>
8.	Was Green Procurement considered?	Yes <input type="radio"/> No <input type="radio"/>
9.	Was there adequate source documentation?	Yes <input type="radio"/> No <input type="radio"/>

Case Disposition	
Case Disposition	Notes
Select	

Save Cancel

The A/BO begins the dispositioning process on this screen. An entry must be made for "Describe Product or Service Acquired". Convenience check question is autopopulated based on the transaction type. One must enter whether or not the card has been lost or stolen and whether or not the transaction is a contract

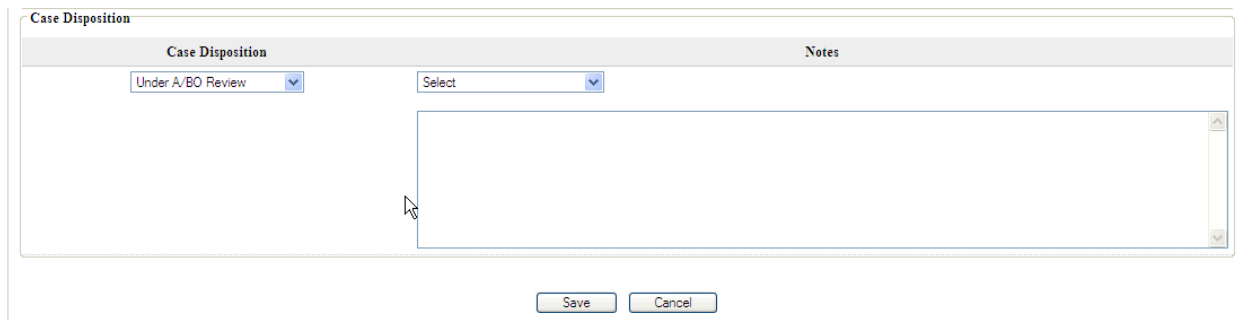
payment. If contract payment is selected, enter contract information in the dialog box next to the question.

The interview questions (Numbered 1-9) are displayed within the Case Review frame. These questions are answered "Yes" or "No" by selecting the radio buttons. If a question doesn't pertain to the transaction being reviewed, there is an N/A option. Every question must have an answer. Note that a yes or no response may trigger additional questions in a drop-down menu displayed to the right of the question. For example, answering "Yes" to "Was there adequate source documentation?" triggers a list of documentation types that the user selects from. Multiple selections are made by holding down the "Ctrl" key. For a complete description of the interview questions, please see the DM/RA User Manual.

8. Case Disposition

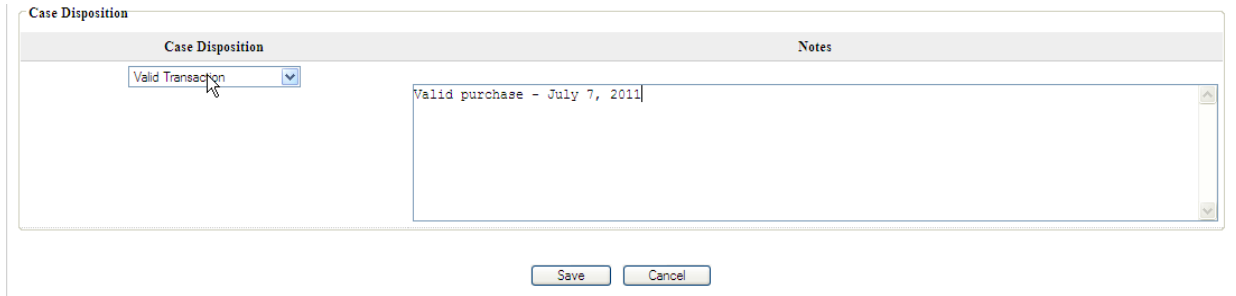
Once the interview questions have been completed, one can disposition (close) the case. This action is accomplished by selecting an appropriate disposition from the Case Disposition menu that is displayed in the Case Disposition frame.

Hint: When first using DM/RA it is advised to immediately put a flagged transaction "Under A/BO Review". Select "Under /ABO Review" and click on the "Save" button. The escalation process takes this disposition into account and will allow more time for the completion of the case.



The screenshot shows a dialog box titled "Case Disposition". It has a header bar with "Case Disposition" on the left and "Notes" on the right. Below the header, there are two dropdown menus: the first is labeled "Under A/BO Review" and the second is labeled "Select". Below these menus is a large text area for notes. At the bottom of the dialog, there are two buttons: "Save" and "Cancel".

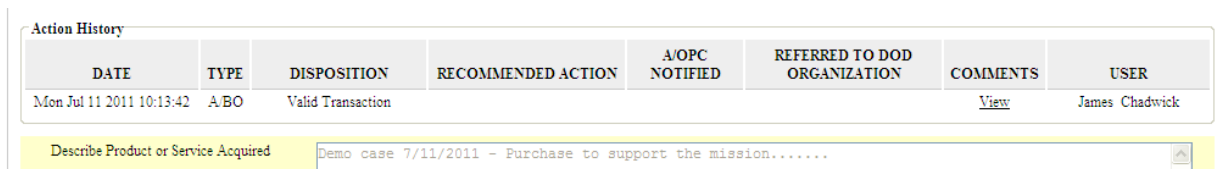
Once all of the interview questions and other pertinent information have been entered, the case is ready to be dispositioned. We do recommend that comments be included as they help in subsequent reviews. In the example below, a Valid Transaction disposition has been selected. For a complete discussion on the other disposition options, please see the DM/RA User Manual.



The 'Case Disposition' dialog box is shown. It has a title bar 'Case Disposition' and a subtitle 'Notes'. Inside, there is a dropdown menu with 'Valid Transaction' selected. To the right of the dropdown is a text area containing 'Valid purchase - July 7, 2011'. At the bottom, there are 'Save' and 'Cancel' buttons.

At this point the case can be closed. Click on the Save button and the case is closed.

Action History is updated to reflect the disposition.



The 'Action History' table displays a single row of data. Below the table, there is a yellow highlighted section with a label 'Describe Product or Service Acquired' and a text field containing 'Demo case 7/11/2011 - Purchase to support the mission.....'.

DATE	TYPE	DISPOSITION	RECOMMENDED ACTION	A/OPC NOTIFIED	REFERRED TO DOD ORGANIZATION	COMMENTS	USER
Mon Jul 11 2011 10:13:42	A/BO	Valid Transaction				View	James Chadwick

Describe Product or Service Acquired Demo case 7/11/2011 - Purchase to support the mission.....

9. A/OPC Independent Review

As mentioned in the Background Section, a high risk transaction any flagged transaction that scores 900 or above. As such, these high risk transactions require an Independent Review (IR). The A/OPC is required to perform the IR.

The A/OPC does receive an email notification stating the requirement of an IR. The link in the email can be used to access the case or the alternate logon instructions in Section 3 can be used. Note that the IR can only be completed after the A/BO has dispositioned the case.

The A/OPC selects their role and clicks on the Closed Cases to display all of the closed cases. The A/OPC identifies the case that requires an IR and clicks the View button to display the case.

The A/OPC clicks on the Independent Review button within the Action History frame. The Independent Review popup dialog window is displayed.

Data Mining / Risk Assessment – Quick Reference to Case Disposition

Case Details
VIEW: Summary | All - Grouped

Transaction Information
Account Number:
Transaction Date:
Transaction Amount:
Merchant Name:
MCC:

Action History

DATE	TYPE
Mon Jul 11 2011 10:13:42	A/BO

[Add Independent Review](#)

Add Independent Review [close](#)

Case Disposition
Select
Contract Payment
Under A/BO Review
Valid Transaction
Administrative Discrepancy
Misuse
Suspected Fraud
Abuse
Lost
Stolen

Comments

[Save](#)

*****\$36453
O
Mon Jul 11 2011 10:11:04
Mon Jul 11 2011 10:13:42
Valid Transaction

REFERRED TO DOD ORGANIZATION	COMMENTS	USER
	View	James Chadwick

Describe Product or Service Acquired Demo case 7/11/2011 - Purchase to support the mission.....

The A/OPC selects the appropriate Case Disposition and adds comments (recommended, but not required).

Then, the A/OPC clicks the Save button.

A popup message displays indicating that the IR has been successfully added.

Action History is updated to reflect that an Independent Review has been completed.

Action History							
DATE	TYPE	DISPOSITION	RECOMMENDED ACTION	A/OPC NOTIFIED	REFERRED TO DOD ORGANIZATION	COMMENTS	USER
Mon Jul 11 2011 10:13:42	A/BO	Valid Transaction				View	James Chadwick
Mon Jul 11 2011 11:00:54	IR	Valid Transaction				View	James Chadwick

[Add Independent Review](#)